

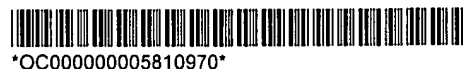
## UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/742,657	12/21/2000	Hidenori Nishikawa	JP9 1999 0204 US1

CONFIRMATION NO. 6991

## FORMALITIES LETTER



\*OC000000005810970\*

Attn: Norman L. Gundel  
IBM Corporation  
Intellectual Property Law - Dept QPZA/201  
8501 IBM Drive  
Charlotte, NC 28262

Date Mailed: 02/28/2001

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

*Filing Date Granted*

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given TWO MONTHS from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The oath or declaration is unsigned.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- **The balance due by applicant is \$ 130.**

*A copy of this notice **MUST** be returned with the reply.*

*Tadelech Petro*

Customer Service Center

Initial Patent Examination Division (703) 308-1202

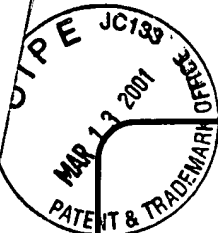
PART 2 - COPY TO BE RETURNED WITH RESPONSE

09742657

03/14/2001 WABRHM1 00000014 090469

130.00 CH

01 FC:105



#3

# FEE TRANSMITTAL for FY 2001

Patent fees are subject to annual revision

Complete if Known

Application Number	09/742,657
Filing Date	December 21, 2001
First Named Inventor	Hidenori Nishikawa
Examiner Name	
Group Art Unit	2171
Attorney Docket No.	JP9 1999 0204 US1

TOTAL AMOUNT OF PAYMENT \$ 130.00

## METHOD OF PAYMENT

1. ☒ The Commissioner is hereby authorized to charge  
Indicated fees and credit any overpayment to:

Deposit Account Number Deposit Account Name  
09-0469

- ☒ Charge Any Additional Fee Required  
Under 37 CFR 1.16 and 1.17  
☐ Applicant claims small entity status.  
See 37 CFR 1.27

2. ☐ Payment Enclosed

☐ Check ☐ Credit card ☐ Money Order ☐ Other

## FEE CALCULATIONS

### 1. BASIC FILING FEES

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
101 710 201 355		Utility filing fee	
106 320 206 160		Design filing fee	
107 490 207 245		Plant filing fee	
108 710 208 355		Reissue filing fees	
114 150 214 75		Provisional filing fee	

SUBTOTAL (1) (\$ 0.00)

### 2. EXTRA CLAIM FEES

	Extra Claims	Fee from below	Fee Paid
Total Claims -20** =	X		
Independent Claims - 3** =	X		
Multiple Dependent			

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description
103 18 203 9		Claims in excess of 20
102 80 202 40		Independent claims in excess of 3
104 270 204 135		Multiple dependent claim, if not paid
109 80 209 40		**Reissue independent claims over Original patent

SUBTOTAL (2) \$ 0.00

\*\* or number previously paid, if greater; For Reissue, see above

### 3. ADDITIONAL FEES

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
105 130 205 65		Surcharge - late filing fee or oath	130.00
127 50 227 25		Surcharge - late provisional filing fee or cover sheet	
139 130 139 130		Non-English specification	
147 2,250 147 2,250		For filing a request for ex parte reexamination	
112 920* 112 920*		Requesting publication of SIR prior to Examiner action	
113 1,840* 113 1,840*		Requesting publication of SIR after Examiner action	
115 110 115 55		Extension for reply within first month	
116 390 216 195		Extension for reply within 2nd month	
117 890 217 445		Extension for reply within third month	
118 1,390 218 695		Extension for reply within fourth month	
128 1,890 228 945		Extension for reply within fifth month	
119 310 219 155		Notice of Appeal	
120 310 220 155		Filing a brief in support of an appeal	
121 270 221 135		Request for oral hearing	
138 1,510 138 1,510		Petition to institute a public use proceeding	
140 110 240 55		Petition to revive - unavoidable	
141 1,240 241 620		Petition to revive - unintentional	
142 1,240 242 620		Utility issue fee (or reissue)	
143 440 243 220		Design issue fee	
144 600 244 300		Plant issue fee	
122 130 122 130		Petition to the Commissioner	
123 50 123 50		Processing fee under 37 CFR 1.117(q)	
126 180 126 180		Submission of Information Disclosure Stmt	
581 40 581 40		Recording each patent assignment per Property(times number of properties)	
146 710 246 355		Filing a submission after final rejection (37 CFR § 1.129(a))	
149 710 249 355		For each additional invention to be Examined (37 CFR § 1.129(b))	
179 710 279 355		Request for continued Examination (RCE)	
169 900 169 900		Request for expedited examination Of a design application	

Other fee (specify) \_\_\_\_\_

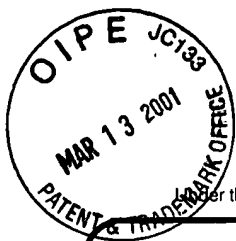
\* Reduced by Basic Filing Fee Paid

SUBTOTAL (3)

\$ 130.00

## SUBMITTED BY

Name (Print/Type)	Norman L. Gundel	Registration No. (Attorney/Agent)	30,387	Telephone	(704) 594-8302
Signature	Norman L. Gundel	Date	3-9-2001		



PTOSB/21 (08-00)

Approved for use through 10/31/2002. OMB 0651-0031  
U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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**TRANSMITTAL  
FORM**

(to be used for all correspondence after initial filing)

Application Number	09/742,657
Filing Date	December 12, 2000
First Named Inventor	Hidenori Nishikawa
Group Art Unit	2171
Examiner Name	
Attorney Docket Number	JP9 1999 0204 US1

Total Number of Pages in This Submission

45

**ENCLOSURES (check all that apply)**☒ Fee Transmittal Form☐ Fee Attached☐ Amendment / Reply☐ After Final☐ Affidavits/declaration(s)☐ Extension of Time Request☐ Express Abandonment Request☐ Information Disclosure Statement☐ Certified Copy of Priority Documents☒ Response to Missing Parts/  
Incomplete Application☒ Response to Missing Parts  
Under 37 CFR 1.52 or 1.53☐ Assignment Papers  
(for an Application)☐ Drawing(s)☐ Licensing-related Papers☐ Petition☐ Petition to Convert to a  
Provisional Application☐ Power of Attorney, Revocation  
Changes of Correspondence  
Address☐ Terminal Disclaimer☐ Request for Refund☐ CD, Number of CD(s) \_\_\_\_\_☐ After Allowance Communications  
to Group☐ Appeal Communication to Board  
Of Appeals and Interferences☐ Appeal Communication to Group  
(Appeal Notice, Brief, Reply Brief)☐ Proprietary Information☐ Status Letter☒ Other Enclosure(s) (please  
Identify below):

- Declaration &amp; Power of Attorney

Remarks

**SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT**Firm  
Or  
Individual NameInternational Business Machines Corporation  
8501 IBM Drive, Intellectual Property Law Dept.  
Charlotte, NC 28262-4333

Signature

Norman L. Hundel

Date

3-9-2001

**CERTIFICATE OF MAILING**

I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class

Mail in an envelope addressed to: Commissioner for Patents, Washington, DC 20231 on this date:

March 09, 2001

Typed or printed name

James D. Palmer

Signature

James D. Palmer

Date

March 09, 2001